



ATTORNEY DOCKET NO.: 5547

PATENT APPLICATION

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Mark Rosenberg

Confirmation No.: 5201

Application No.: 09/592,845

Examiner: S. Narayanswamy

Filing Date: June 13, 2000

Group Art Unit: 3624

Title: INVESTMENT STRUCTURE AND METHOD HAVING FIXED AND CONTINGENT  
COMPONENTSCommissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

- |   |   |
|---|---|
| <input type="checkbox"/> Response/Amendment                                       | <input type="checkbox"/> Petition to extend time to respond |
| <input type="checkbox"/> New fee as calculated below                              | <input type="checkbox"/> Supplemental Declaration           |
| <input type="checkbox"/> No additional fee  |   |
| <input checked="" type="checkbox"/> Other: <u>Amendment After Final Rejection</u> | (fee \$ _____)  |

CLAIMS AS AMENDED BY OTHER THAN A LARGE ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	17	MINUS	84	= 0	X \$9	\$ 0
INDEP. CLAIMS	3	MINUS	14	= 0	x \$43	\$ 0
[ ]	FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM				+ \$145	\$ 0
EXTENSION FEE	1ST MONTH \$55.00 <input type="checkbox"/>	2ND MONTH \$210.00 <input type="checkbox"/>	3RD MONTH \$475.00 <input type="checkbox"/>	4TH MONTH \$740.00 <input type="checkbox"/>		\$ 0
OTHER FEES						\$ 0
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Please charge **\$0.00** to **Deposit Account No. 50-2849** to cover the above fees. In the event any difference exists between the amount authorized to be charged and the actual charges, please charge or credit any such difference to **Deposit Account No. 50-2849**.

Respectfully submitted,

Kelly T. Lee  
Attorney/Agent for Applicant(s)  
Reg. No. 47,743ANDREWS KURTH LLP  
Intellectual Property Department  
1701 Pennsylvania Avenue, N.W.  
Suite 300  
Washington, D.C. 20006  
Telephone No.: (202) 662-2700  
Facsimile No.: (202) 662-2739Date: **December 20, 2004**

- Attach as First Page to Transmitted Papers -



AF IW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 09/592,845  
Applicant : Mark Rosenberg  
Filed : June 13, 2000  
Title : INVESTMENT STRUCTURE AND METHOD HAVING FIXED  
AND CONTINGENT COMPONENTS  
TC/A.U. : 3624  
Examiner : Subramanian, Narayanswamy  
Docket No. : 5547  
Customer No. : 038598

**Mail Stop After Final**  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**AMENDMENT AFTER FINAL REJECTION UNDER 37 C.F.R. § 1.116**

Sir:

In response to the Final Office Action mailed October 18, 2004, please amend the above-identified application as follows:

**Amendments to the Claims** begin on page 2 of this response.

**Remarks/Arguments** begin on page 16 of this response.